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PATENT  
Express Mail No. EV016640063US  
Attorney Docket No. 11653.00 (formerly 5547.00)

#2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Mark Rosenberg

Serial No.: 09/592,845

Filed: June 13, 2000

For: INVESTMENT STRUCTURE AND METHOD  
HAVING FIXED AND CONTINGENT  
COMPONENTS

Examiner: not yet assigned

Art Unit: 2761

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1. Certificate of Mailing by "Express Mail" (37 CFR 1.10);
2. Transmittal of Information Disclosure Statement (Under 37 CFR 1.97(b) or 1.97(c));
3. Information Disclosure Citation Form PTO-A820 (also form PTO-1449), 2 pages;
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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
11653.00

In Re Application Of: Mark Rosenberg

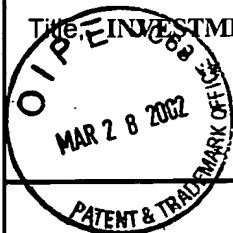
Serial No.  
09/592,845

Filing Date  
June 13, 2000

Examiner  
not yet assigned

Group Art Unit  
2761

Title: INVESTMENT STRUCTURE AND METHOD HAVING FIXED AND CONTINGENT COMPONENTS



Address to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

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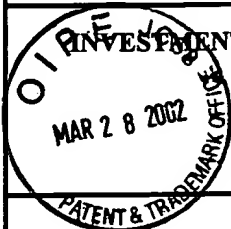
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INVESTMENT STRUCTURE AND METHOD HAVING FIXED AND CONTINGENT COMPONENTS

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Dated: March 28, 2002

Lance L. Vietzke  
Attorney Reg. No. 36,708  
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